

SUPPORTING STATEMENT - PART A

LOCK PERFORMANCE MONITORING SYSTEM (LPMS) WATERWAY TRAFFIC REPORT OMB Control Number 0710-0008

1. Need for the Information Collection

The authority for the U.S. Army Corps of Engineers to collect data on vessel operations and cargo transiting navigation locks is contained in Section 11 of the Rivers and Harbors Appropriations Act of September 22, 1922 (42 Stat. 1043), as amended, and codified in 33 U.S.C. § 555. This Congressional directive provides:

“Owners, agents, masters and clerks of vessels and other craft plying upon the navigable waters of the United States, and all individuals and corporations engaged in transporting their own goods upon the navigable waters of the United States, shall furnish such statements relative to vessels, passengers, freight and tonnage as may be required by the Secretary of the Army: *Provided*, That this provision shall not apply to those rafting logs except upon a direct request upon the owner to furnish specific information.

Every person or persons offending against the provisions of this section shall, for each and every offense, be liable to a fine of not more than \$5,000 or imprisonment not exceeding two months, to be enforced in any district court in the United States within whose territorial jurisdiction such offense may have been committed. In addition, the Secretary may assess a civil penalty of up to \$2,500 per violation, against any person or entity that fails to provide timely, accurate statements required to be submitted pursuant to this section by the Secretary.”

Instructions have not been developed or included in the past as Corp of Engineers employees record this information. These employees are able answer questions without specific instructions and guidance.

2. Use of the Information

The data is currently furnished on ENG FORM 3102C, “Waterway Traffic Report – Vessel Log,” and ENG FORM 3102D, “Waterway Traffic Report – Detail Vessel Log,” each form having OMB NO 0710-0008. See also 33 CFR Part 207.800, “Collections of Navigation Statistics”.

The LPMS information applies to the navigation system management. It collects and monitors data regarding the use and operation of Federally owned and/or operated locks and canals. It requires general data about the number of vessels, barges, and tows which move through each lock chamber or canal and about the operation time required for passage of these vessels or tows. It also collects general data about cargos by estimated

tonnage and category of commodity. This information is then used for the sizing and scheduling of replacements, the timing of rehabilitation or maintenance actions, and the setting of operation procedures and closures for locks and canals.

The master, captain, or pilot of vessels is required to provide the data identified on these forms by contacting the lock operator via radio and relaying the information verbally. The lock operator then logs the information into the LPMS database where it is maintained indefinitely. The hardcopy forms will only be completed by the lock operator if the LPMS database is down. Then once the database is online, the information will be entered electronically and the hardcopy form will be destroyed. No signature of the person relaying the information is required.

3. Use of Information Technology

0% of the responses are collected through an electronic information system. Respondents to ENG FORMS 3102C and 3102D, verbally communicate the information to lock operators using the radio. Government employees then record this information for storage.

4. Non-duplication

The information obtained through this collection is unique and is not already available for use or adaptation from another cleared source.

5. Burden on Small Businesses

This information collection does not impose a significant economic impact on a substantial number of small businesses or entities.

6. Less Frequent Collection

U.S. Army Corps of Engineers navigation managers use this data on a daily basis and make operational decisions based on data availability. Other USACE and federal users, lock operators and waterway system managers, need near real-time data. During emergency or security events continuous information is required by government and navigation industry to maintain open channels and keep navigation moving on the nation's waterways. The data is also needed to document events for legal cases on lock incidents and accidents.

7. Paperwork Reduction Act Guidelines

This collection of information does not require collection to be conducted in a manner inconsistent with the guidelines delineated in 5 CFR 1320.5(d)(2).

8. Consultation and Public Comments

Part A: PUBLIC NOTICE

A 60-Day Federal Register Notice for the collection published on Thursday, May 04, 2017. The 60-Day FRN citation is 82 FRN 20866.

No comments were received during the 60-Day Comment Period.

Part B: CONSULTATION

Corp Of Engineers will consult with the Inland Waterways Users Board prior to resubmitting this renewal request in three years. The Inland Waterways Users Board is the Corp O Engineers Federal Advisory Committee made up of representatives of the waterborne commerce industry.

9. Gifts or Payment

No payments or gifts are being offered to respondents as an incentive to participate in the collection.

10. Confidentiality

Records are created, retained and managed in compliance with Army Records Retention Schedule for record number 400A, 0-6. Records are maintained from creation until no longer needed for business but not longer than six (6) years. Records are destroyed after six (6) years.

A Privacy Act Statement is not required for this collection because we are not requesting individuals to furnish personal information for a system of records.

A System of Record Notice (SORN) is not required for this collection because records are not retrievable by PII.

A Privacy Impact Assessment (PIA) is not required for this collection because PII is not being collected electronically.

11. Sensitive Questions

No questions considered sensitive are being asked in this collection.

12. Respondent Burden and its Labor Costs

a. Estimation of Respondent Burden

1. ENG FORM 3102C

- a. Number of Respondents: 4,631
- b. Number of Responses Per Respondent: 82
- c. Number of Total Annual Responses: 379,742
- d. Response Time: 2.5 min
- e. Respondent Burden Hours: 15,823 hours

ENG FORM 3102D

- a. Number of Respondents: 1,898
- b. Number of Responses Per Respondent: 50
- c. Number of Total Annual Responses: 94,900
- d. Response Time: 3 min

e. Respondent Burden Hours: 4,745 hours

2. Total Submission Burden (Summation or average based on collection)

- a. Total Number of Respondents: 6,529
- b. Total Number of Annual Responses: 474,642
- c. Total Respondent Burden Hours: 20,568 hours

Response time has been historically sampled. Additionally, these response times are based on USACE employees recording information and through their familiarity provide faster responses.

b. Labor Cost of Respondent Burden

1. ENG FORM 3102C

- a. Number of Total Annual Responses: 379,742
- b. Response Time: 2.5 min
- c. Respondent Hourly Wage: \$7.25
- d. Labor Burden per Response: \$0.302
- e. Total Labor Burden: \$114,682.04

ENG FORM 3102D

- a. Number of Total Annual Responses: 94,900
- b. Response Time: 3 min
- c. Respondent Hourly Wage: \$7.25
- d. Labor Burden per Response: \$0.363
- e. Total Labor Burden: \$34,448.70

2. Overall Labor Burden

- a. Total Number of Annual Responses: 474,642
- b. Total Labor Burden: \$149,130.74

The Respondent hourly wage was determined by using the Department of Labor Wage Website (<http://www.dol.gov/dol/topic/wages/index.htm>)

13. Respondent Costs Other Than Burden Hour Costs

There are no annualized costs to respondents other than the labor burden costs addressed in Section 12 of this document to complete this collection.

14. Cost to the Federal Government

a. Labor Cost to the Federal Government

1. ENG FORM 3102C

- a. Number of Total Annual Responses: 379,742
- b. Processing Time per Response: 2.5 min
- c. Hourly Wage of Worker(s) Processing Responses: \$10.21
- d. Cost to Process Each Response: \$0.425
- e. Total Cost to Process Responses: \$161,390.35

ENG FORM 3102D

- a. Number of Total Annual Responses: 94,900
- b. Processing Time per Response: 3 min
- c. Hourly Wage of Worker(s) Processing Responses: \$10.21
- d. Cost to Process Each Response: \$0.511
- e. Total Cost to Process Responses: \$48,493.90

2. Overall Labor Burden to Federal Government

- a. Total Number of Annual Responses: 476,419
- b. Total Labor Burden: \$209,884.25

Federal hourly wage was determined using the minimum basic salary for GS employees in 2017, per https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/17Tables/html/RUS_h.aspx.

b. Operational and Maintenance Costs

- a. Equipment: \$0
- b. Printing: \$0
- c. Postage: \$0
- d. Software Purchases: \$0
- e. Licensing Costs: \$0
- f. Other: \$0
- g. Total: \$0

- 1. Total Operational and Maintenance Costs: \$0
- 2. Total Labor Cost to the Federal Government: \$209,884.25
- 3. Total Cost to the Federal Government: \$209,884.25

15. Reasons for Change in Burden

This is a reinstatement with change to an expired collection. Collection requirements are on going; expiration is a result of shifting management. Decrease in burden is due to a decrease in the utilization of the locks. COE is not seeking any changes to the form relative to its previously approved version. COE has continued to collect this information in support of its budgetary, reporting, and legal requirements and as stated in 33 U.S. Code § 555 and 33 CFR 207.800. There is no decrease in burden per entry, however there are a decreased number of responses (i.e. less lockages and forms submitted). Sense the total burden to

industry was calculated as a function of the number of responses, there is an overall decrease in burden time.

16. Publication of Results

There are approximately 19 standard reports and 2 data extracts available internally to the U.S. Army Corps of Engineers from these data. Summary data is posted to the public website <http://corpslocks.usace.army.mil/lpwb/f?p=121>.

US Army Corps of Engineers
Lock Performance Monitoring System

LPMS Public Web - Home

Welcome to Corps Locks!

The Corps Locks website contains lock and vessel specific information derived from the United States Army Corps of Engineers Lock Performance Monitoring System (LPMS). The information contained here represents an every 15-minute updated snapshot of Freedom of Information Act (FOIA) data on U.S. flag vessels and foreign vessels operating in U.S. waterways that transited a Corps-owned or operated lock structure. Detailed information on specific companies or commodities is considered privileged and is not included in the Corps Locks website.

Find a Vessel	Lock Queue Report	Lock Flotilla Report
Lock Status Report	Tonnage Report	Data Web Services
River at a Glance	Glossary	

Notifications

01/17/2017: A new report, additional clarification of terms, and calculation corrections have been deployed.

10/04/2016: Average Delay calculations now include vessels in queue.

Accessibility Link Disclaimer EOGA Privacy and Security Contact Us Information Quality

17. Non-Display of OMB Expiration Date

We are not seeking approval to omit the display of the expiration date of the OMB approval on the collection instrument.

18. Exceptions to “Certification for Paperwork Reduction Submissions”

We are not requesting any exemptions to the provisions stated in 5 CFR 1320.9.